

05-13-02

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\$47

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# TRANSMITTAL FORM

(To be used for all correspondence  
after initial filing)


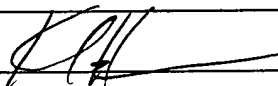
|                      |                  |
|----------------------|------------------|
| Application Number   | 10/068,569       |
| Filing Date          | February 6, 2002 |
| First Named Inventor | Emad S. Alnemri  |
| Group Art Unit       | 1632             |
| Examiner Name        |                  |
| Attorney Docket No.  | 480140.475       |

## ENCLOSURES (check all that apply)

|   |  |   |
|---|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input checked="" type="checkbox"/> Fee Attached<br><input checked="" type="checkbox"/> Amendment/Response<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement; Form PTO-1449<br><input type="checkbox"/> Cited References<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input checked="" type="checkbox"/> Response to Missing Parts under 37 C.F.R. 1.52 or 1.53<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Request for Corrected Filing Receipt<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input checked="" type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address<br><input checked="" type="checkbox"/> Declaration<br><input checked="" type="checkbox"/> Statement under 37 CFR 3.73(b)<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Small Entity Statement<br><input type="checkbox"/> Request for Refund | <input type="checkbox"/> CD(s), Number of CD(s) _____<br><input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Return Receipt Postcard<br><input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):<br><u>Supplemental ADS</u><br><u>Copy of Assignment</u><br><u>Copy of Notice to File Missing Parts</u> |
|---|--|---|

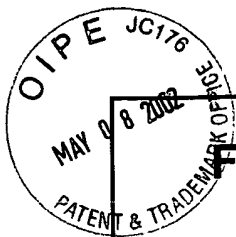
Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

|                 |   |   |
|-----------------|---|---|
| Individual Name | Karl R. Hermanns  | <br>00500<br>PATENT TRADEMARK OFFICE |
| Signature       |  |   |
| Date            | May 8, 2002   |   |

## CERTIFICATE OF MAILING

|   |  |       |
|---|--|-------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on the date specified below. |  |       |
| Typed or printed name   |  |       |
| Signature   |  | Date: |



# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) **1318**

## Complete if Known

Application Number **10/068,569**  
Filing Date **February 6, 2002**  
First Named Inventor **Emad S. Alnemri**  
Examiner Name  
Group Art Unit **1632**  
Attorney Docket No. **480140.475**

## METHOD OF PAYMENT

- ☒ Payment Enclosed:  
☒ Check ☐ Credit card ☐ Money Order ☐ Other
- ☐ Deposit Account:  
Deposit Account Number **19-1090**  
Deposit Account Name **Seed Intellectual Property Law Group PLLC**
- The Commissioner is authorized to (check all that apply)  
☐ Charge fee(s) indicated below ☒ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee  
☒ Charge any deficiencies
- to the above-identified deposit account.
- ☐ Applicant claims small entity status. See 37 CFR 1.27.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid        |
|--------------|----------|--------------|----------|------------------------|-----------------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                        |                 |
| 101          | 740      | 201          | 370      | Utility filing fee     | <b>740</b>      |
| 106          | 330      | 206          | 165      | Design filing fee      |                 |
| 107          | 510      | 207          | 255      | Plant filing fee       |                 |
| 108          | 740      | 208          | 370      | Reissue filing fee     |                 |
| 114          | 160      | 214          | 80       | Provisional filing fee |                 |
| SUBTOTAL (1) |          |              |          |                        | <b>(\$ 740)</b> |

### 2. EXTRA CLAIM FEES

| Total Claims                | Extra Claims | Fee from below | Fee Paid   |
|-----------------------------|--------------|----------------|------------|
| <b>18</b>                   | <b>0</b>     | <b>18</b>      | <b>0</b>   |
| Independent Claims <b>5</b> | <b>2</b>     | <b>84</b>      | <b>168</b> |
| Multiple Dependent          |              | <b>280</b>     | <b>280</b> |

| Large Entity |          | Small Entity |          | Fee Description  |
|--------------|----------|--------------|----------|--|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |
| 103          | 18       | 203          | 9        | Claims in excess of 20                                     |
| 102          | 84       | 202          | 42       | Independent claims in excess of 3                          |
| 104          | 280      | 204          | 140      | Multiple dependent claim, if not paid                      |
| 109          | 84       | 209          | 42       | ** Reissue independent claims over original patent         |
| 110          | 18       | 210          | 9        | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) **(\$ 448)**

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity |          | Small    |          | Fee Description  | Fee Paid   |
|--------------|----------|----------|----------|--|------------|
| Fee Code     | Fee (\$) | Fee Code | Fee (\$) |  |            |
| 105          | 130      | 205      | 65       | Surcharge - late filing fee or oath  | <b>130</b> |
| 127          | 50       | 227      | 25       | Surcharge - late provisional filing fee or cover sheet.                    |            |
| 139          | 130      | 139      | 130      | Non-English specification  |            |
| 147          | 2,520    | 147      | 2,520    | For filing a request for ex parte reexamination                            |            |
| 112          | 920*     | 112      | 920*     | Requesting publication of SIR prior to Examiner action                     |            |
| 113          | 1,840*   | 113      | 1,840*   | Requesting publication of SIR after Examiner action                        |            |
| 115          | 110      | 215      | 55       | Extension for reply within first month                                     |            |
| 116          | 400      | 216      | 200      | Extension for reply within second month                                    |            |
| 117          | 920      | 217      | 460      | Extension for reply within third month                                     |            |
| 118          | 1,440    | 218      | 720      | Extension for reply within fourth month                                    |            |
| 128          | 1,960    | 228      | 980      | Extension for reply within fifth month                                     |            |
| 119          | 320      | 219      | 160      | Notice of Appeal   |            |
| 120          | 320      | 220      | 160      | Filing a brief in support of an appeal                                     |            |
| 121          | 280      | 221      | 140      | Request for oral hearing   |            |
| 138          | 1,510    | 138      | 1,510    | Petition to institute a public use proceeding                              |            |
| 140          | 110      | 240      | 55       | Petition to revive - unavoidable   |            |
| 141          | 1,280    | 241      | 640      | Petition to revive - unintentional   |            |
| 142          | 1,280    | 242      | 640      | Utility issue fee (or reissue)   |            |
| 143          | 460      | 243      | 230      | Design issue fee   |            |
| 144          | 620      | 244      | 310      | Plant issue fee  |            |
| 122          | 130      | 122      | 130      | Petitions to the Commissioner  |            |
| 123          | 50       | 123      | 50       | Petitions related to provisional applications                              |            |
| 126          | 180      | 126      | 180      | Submission of Information Disclosure Stmt                                  |            |
| 581          | 40       | 581      | 40       | Recording each patent assignment per property (times number of properties) |            |
| 146          | 740      | 246      | 370      | Filing a submission after final rejection (37 CFR § 1.129(a))              |            |
| 149          | 740      | 249      | 370      | For each additional invention to be examined (37 CFR § 1.129(b))           |            |
| 179          | 740      | 279      | 370      | Request for Continued Examination (RCE)                                    |            |
| 169          | 900      | 169      | 900      | Request for expedited examination of a design application                  |            |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) **(\$ 130)**

## SUBMITTED BY

Name (Print/Type) **Karl R. Hermanns** Registration No. **33,507**  
Firm Name/Address  
Signature Date **May 8, 2002**



00500

PATENT TRADEMARK OFFICE



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Emad S. Alnemri  
Application No. : 10/068,569  
Filed : February 6, 2002  
For : A CONSERVED XIAP-INTERACTION MOTIF IN CASPASE-9  
AND SMAC/DIABLO FOR MEDIATING APOPTOSIS

Art Unit : 1632  
Docket No. : 480140.475  
Date : May 8, 2002

Box Missing Parts  
Commissioner for Patents  
Washington, DC 20231


RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

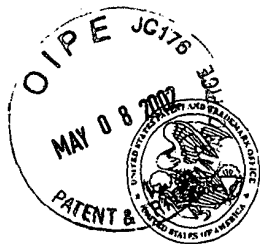
Commissioner for Patents:

In response to the Notice to File Missing Parts dated March 8, 2002, please find enclosed the following documents:

X  Fee  
 X  Oath/Declaration  
 X  Copy of Notice to File Missing Parts

Respectfully submitted,  
Emad S. Alnemri  
Seed Intellectual Property Law Group PLLC

  
\_\_\_\_\_  
Karl R. Hermanns  
Registration No. 33,507



EXPRESS MAIL NO. EV064845075US

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT    | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|--------------------------|------------------------|
| 10/068,569         | 02/06/2002          | Srinivasa M. Srinivasula | 480140.475             |

CONFIRMATION NO. 8367

00500

SEED INTELLECTUAL PROPERTY LAW GROUP PLLC  
701 FIFTH AVE  
SUITE 6300  
SEATTLE, WA 98104-7092

## FORMALITIES LETTER



\*OC000000007608832\*

MAR 12 2002

SEED INTELLECTUAL PROPERTY  
LAW GROUP PLLC

Date Mailed: 03/08/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$3214.
  - \$1422 for 79 total claims over 20.
  - \$1512 for 18 independent claims over 3.
  - \$280 for multiple dependent claim surcharge.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 4084.

Adjustment date: 06/05/2002 HPRASASD  
05/15/2002 AMCHDAF1 00000082 10068569  
03 FC:104 -280.00 DP

DP DP DP DP  
740 00 00 00  
130 00 00 00  
280 00 00 00  
160 00 00 00

A copy of this notice **MUST** be returned with the reply.

Repln. Ref: 06/05/2002 HPRASASD 0013064500  
DA#:191090 Name/Number:10068569  
FC: 704 \$280.00 (CR)

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

05/15/2002 AMCHDAF1 00000082 10068569

01 FC:101  
02 FC:105  
03 FC:104  
04 FC:102